

CERTIFICATE OF MAIL

certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on August 31, 2004.

  
Johnny Nguyen

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Date: August 31, 2004

Serge BOURBONNAIS et al.

Confirmation No.: To Be Assigned

Serial No.: 10/789,775

Group Art Unit: 2183

Filed: February 27, 2004

Examiner: To Be Assigned

For: PARALLEL APPLY PROCESSING IN DATA REPLICATION WITH  
PRESERVATION OF TRANSACTION INTEGRITY AND SOURCE  
ORDERING OF DEPENDENT UPDATES

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE**  
**STATEMENT UNDER 37 C.F.R. §1.97**

Sir:

Pursuant to 37 C.F.R. §1.97 and §1.98, Applicants submit for consideration in the above-identified application the documents listed on the attached Form PTO-1449. The Examiner is requested to make these documents of record. This Information Disclosure Statement is being submitted:

- ☐ With copies.
- ☐ Without copies. Copies of the documents were previously submitted in an Information Disclosure Statement and/or Office Action, directed to the related application Serial No. \*\*, filed \*\*. This protocol conforms with 37 C.F.R. §1.98(d) and M.P.E.P. 609 (A)(2).
- ☒ This Information Disclosure Statement is being submitted with only copies of non-U.S. patent publication(s) and non-patent literature. This protocol conforms with 37 CFR 1.98(a)(2)(i), which waives the requirement for submitting a copy of each cited U.S. Patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003.

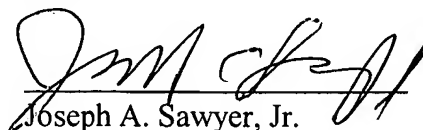
- ☒ Within three months of the application filing date, or before mailing of a first Office Action on the merits.
  - ☐ After receipt of a first Office Action on the merits, but before the mailing date of a Final Office Action under §1.113, or a Notice of Allowance §1.311. Accompanied by one of:
    - ☐ Certification under 37 CFR §1.97(e); **or**
    - ☐ The fee set forth in §1.17(p)
  - ☐ After mailing of a final Office Action or Notice of Allowance, but on or before payment of the issue fee. Accompanied by:
    - ☐ Certification under 37 CFR §1.97(e); **and**
    - ☐ The fee set forth in §1.17(p)
  - ☐ A Certification under 37 C.F.R. §1.97(e) is provided below:
    - ☐ I hereby certify that each item of information was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- or-
- ☐ I hereby certify that no item of information was cited in a communication from a foreign patent office in a counterpart foreign application or, to the best of my knowledge after making a reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Applicants would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

If any unresolved issues remain, please contact Applicant's attorney at the telephone number indicated below. The Commissioner is hereby authorized to charge any fees associated with this communication, or credit any overpayment, to Deposit Account No. 09-0460 (IBM Corporation).

Respectfully submitted,

SAWYER LAW GROUP LLP



Joseph A. Sawyer, Jr.  
Attorney for Applicant(s)

Reg. No. 30,801  
(650) 493-4540

August 31, 2004

Date

FORM PTO-1449 (Modified)  LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT  (Use several sheets if necessary)	ATTY. DOCKET NO. <b>SVL9200400071US1/3051P</b>	SERIAL NO. <b>10/789,775</b>
	APPLICANT: <b>Serge BOURBONNAIS et al.</b>	
	FILING DATE: <b>February 27, 2004</b>	GROUP: <b>2183</b>



**REFERENCE DESIGNATION U.S. PATENT/PUBLISHED DOCUMENTS**

EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPRO.)
	US 2003/0041074	02/27/03	Vasudevan et al.	707	204	
	US 2003/0177194	09/18/93	Crocker et al.	709	206	
	US 2002/0049776	04/25/02	Aronoff et al.	707	200	
	US 2002/0165724	11/27/02	Blanckesteijn	705	1	
	US 2003/0208511	11/06/03	Earl et al.	707	204	
	6 0 2 9 1 7 8	02/22/00	Martin et al.	707	201	
	6 6 2 2 1 5 2	09/16/03	Sinn et al.	707	204	

**FOREIGN PATENT DOCUMENTS**

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation

**OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)**

	Gao, Lei et al., "Application Specific Data Replication for Edge Services," ACM 2003, pp. 449-460.
	Miled, Zina Ben, "Global Change Master Directory: Object-Oriented Active Asynchronous Transaction Management in a Federated Environment Using Data Agents," ACM 2001, pp. 207-214.
	Wolanow, A. "One Enterprise, One Interface," Intelligent Enterprise, Vol. 2, No. 4, March 9, 1999, 1 page.
	Yu, Haifeng et al., "Design and Evaluation of a Conit-Based Continuous Consistency Model for Replicated Services," ACM 2002, Vol. 20, No. 3, pp. 239-282.

EXAMINER	DATE CONSIDERED
----------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

## TRANSMITTAL FORM

Attorney Docket No.  
**SVL920040007US1/3051P**In re application: **Serge BOURBONNAIS et al.**Confirmation No.: **To Be Assigned**Serial No: **10/789,775**Group Art Unit: **2183**Filed: **February 27, 2004**Examiner: **To Be Assigned**For: **Parallel Apply Processing in Data Replication with Preservation of Transaction Integrity and Source Ordering of Dependent Updates**

## ENCLOSURES (check all that apply)

<input type="checkbox"/>	Amendment/Reply	<input type="checkbox"/>	Assignment and Recordation Cover Sheet	<input type="checkbox"/>	After Allowance Communication to Group
<input type="checkbox"/>	After Final	<input type="checkbox"/>	Part B-Issue Fee Transmittal	<input type="checkbox"/>	Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/>	Information disclosure statement	<input type="checkbox"/>	Letter to Draftsman	<input type="checkbox"/>	Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/>	Form 1449	<input type="checkbox"/>	Drawings	<input type="checkbox"/>	Status Letter
<input type="checkbox"/>	(4) Copies of References	<input type="checkbox"/>	Petition	<input checked="" type="checkbox"/>	Postcard
<input type="checkbox"/>	Extension of Time Request *	<input type="checkbox"/>	Fee Address Indication Form	<input type="checkbox"/>	Other Enclosure(s) (please identify below):
<input type="checkbox"/>	Express Abandonment	<input type="checkbox"/>	Terminal Disclaimer		
<input type="checkbox"/>	Certified Copy of Priority Doc	<input type="checkbox"/>	Power of Attorney and Revocation of Prior Powers		
<input type="checkbox"/>	Response to Incomplete Appln	<input type="checkbox"/>	Change of Correspondence Address		
<input type="checkbox"/>	Response to Missing Parts	*Extension of Term: Pursuant to 37 CFR 1.136, Applicant petitions the Commissioner to extend the time for response for xxxxxx month(s), from to .			
<input type="checkbox"/>	Executed Declaration by Inventor(s)				

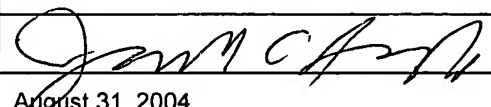
## CLAIMS

FOR	Claims Remaining After Amendment	Highest # of Claims Previously Paid For	Extra Claims	RATE	FEE
Total Claims	33	33	0	\$18.00	\$ 0.00
Independent Claims	3	3	0	\$86.00	\$ 0.00
				Total Fees	\$ 0.00

## METHOD OF PAYMENT

<input type="checkbox"/>	Check no. _____ in the amount of \$ _____ is enclosed for payment of fees.
<input type="checkbox"/>	Charge \$ _____ to Deposit Account No. _____ (Account Holder Name) for payment of fees.
<input checked="" type="checkbox"/>	Charge any additional fees or credit any overpayment to Deposit Account No. 09-0460 (IBM Corporation).

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Attorney Name	Joseph A. Sawyer, Jr., Reg. No. 30,801
Signature	
Date	August 31, 2004

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: August 31, 2004

Type or printed name	Jinny Nguyen
Signature	